

10/018336

JD Rec'd PCT/PTO 30 OCT 2001

#3

PATENT

(Practitioner's Docket No. IN-5530)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Bernhard LETTMANN

US Serial No. Herewith

Filed: October 30, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: AQUEOUS COATING MATERIAL AND MODULAR SYSTEM FOR PRODUCING SAME

Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

- ☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

- ☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

- ☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [____], filed on [____]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

- ☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [____] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

FOREIGN LANGUAGE DOCUMENTS

- ☐ There are no foreign language documents listed on Form PTO-1449.

Information Disclosure Statement

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☒ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material: English Abstracts for: **WO 94/22968; DE3321180; DE 3832142; EP 158 094; DE3739332; EP0614951; DE4301991; DE19709465; DE 44 21 823 A1**

☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☒ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:

5,079,312 English for	DE 3706 095
5,635,564 English for	DE 38 41 540
CA 2,107,351 English for	DE 411 0 520
4,046,729 English for	DE 2624 442 ~
5,726,258 English for	DE19524 182
5,601,878 English for	DE4222 194
4,895,910 English for	DE3807 571
4,246,382 English for	DE2848 906
5,690,569 English for	DE 197 09 476
5,028,639 English for	DE 36 36 183
4,322,325 English for	DE2926 584
5,326,820 English for	DE4024 204
4,914,148 English for	DE 354 618
5,210,154 English for	DE 3813 866
4,322,325 English for	DE 2926 584
4,005,961 English for	DE 4005 961
4,851,460 English for	DE 36 28 124 A1
5,518,559 English for	DE 42 04 518 A1
5,965,213 English for	DE 196 13 547;
5,601,878 English for	DE 42 22 194 A1;
4,489,135 English for	DE 32 10 051 A1;
4,851,460 English for	DE 36 28 124 A1;
6,159,556 English for	DE19518 392
5,965,213 English for	DE19613 547
5,486,384 English for	EP 0 540 884 A1;
5,425,970 English for	EP 0 568 967 A2;
5,691,425 English for	EP 0 522 419 A1;
5,71,678 English for	WO 94/22969;
5,307,910 English for	EP 0 355 433 A2
6,001,424 English for	EP 0 730 613 B1
4,730,020 English for	EP 0 195 931 A1
5,017,673 English for	EP 0422 357
5,667,847 English for	EP 301 300 ~
CA 2079498 English for	EP 0 540 884 A1
CA 2,102,169 English for	EP 0 522 420 A2;
CA 2,073,115 English for	EP 0 596 460 A2;
5,576,386 English for	EP 0 554 783 A1
5,691,419 and 5,686,531 English for	WO 92/22615;
4,558,090 and 4,489,135 English for	EP 0 089 497 A2;

Information Disclosure Statement
Page 3

- ☒ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification at the following pages and line numbers:

CERTIFICATION:

- ☒ The Information Disclosure Statement transmitted herewith is being filed **with** in three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$230.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was

cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); OR



That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); AND

Information Disclosure Statement

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Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of \$130.00 to BASF Corporation Deposit Account No. 23-3425. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,

Michael Morgan

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FORM PTO-1449
(MODIFIED)US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5530

10/018336
PCT/PTO 30 OCT 2001LIST OF ART CITED BY APPLICANT
(Use cover of sheets if necessary)

10-30-01

In re Application of : LETTMANN

Serial No.: Herewith

Filed: October 30, 2001

U.S. PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/NN/	AA	5,474,811	12/12/95	Rehfuss et al.	427	407.1	5/11/94
	AB	5,356,669	10/18/94	Rehfuss et al.	427	4307.1	10/23/92
	AC	4,268,542	5/19/81	Sakakibara et al.	427	195	1/25/79
	AD	4,675,234	6/23/87	Sachs et al.	428	328	5/17/85
	AE	4,558,090	12/10/85	Drexler et al.	524	591	10/2/84
	AF	4,489,135	12/18/84	Drexler et al.	428	423.1	2/18/83
	AG	4,710,542	12/1/87	Forgione et al.	525	127	5/16/86
	AH	4,444,954	04/24/84	Mels et al.	525	124	9/30/82
	AI	5,079,312	1/7/92	Isozaki et al.	525	479	5/1/90
	AJ	4,223,357	9/16/80	Vano	358	264	10/23/78
/NN/	AK	4,005,961	2/1/77	Manceau	425	190	8/26/75

FOREIGN PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES	NO
/NN/	AL	0 594 071 A1 -	15.10.93	EP	C09D	201/02	X	
	AM	0 594 142 A1 -	20.10.93	EP	C08L	57/12	X	
	AN	0 604 992 A1 -	23.12.93	EP	C08K	5/3492	X	
	AO	WO 94/22969	13.10.94	EP	C09D	133/06		X
/NN/	AP	2073115	92.07.03	CA	C08L	075/14	X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR	English Language Abstract for WO/94/22969 provided with International Publication	
	AS	English Language Abstract for EP 0 590 460 A2	IMPROPER CITATIONS
			NOT "OTHER ART"
	AT	English Language Abstract for DE 4301931	NO DATE, ETC.

EXAMINER

/Nathan Nutter/ (12/15/2010)

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*Applicant has modified this form by deleting the word "prior".

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Examiner Initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/NN/	AA	5,210,154	5/11/154	Weidemeier et al.	525	438	4/18/89
	AB	4,322,325	3/30/82	Esser et al.	523	457	6/30/80
	AC	5,210,154	5/11/93	Weidemeier et al.	525	438	4/18/89
	AD	4,914,148	4/3/90	Hille et al.	524	507	10/11/86
	AE	5,326,820	7/5/94	Hoffmann et al.	525	123	7/24/91
	AF	5,028,639	7/2/91	Treutlein et al.	523	200	10/31/90
	AG	5,690,569	11/25/97	Ledvina et al.	474	111	3/13/96
	AH	4,730,020	3/8/88	Wilfinger et al.	524	555	2/27/86
	AI	4,851,460	7/25/89	Stranghöner et al.	523	407	8/18/87
	AJ	6,001,424	12/14/99	Lettmann et al.	427	407.1	11/18/94
/NN/	AK	5,370,910	12/6/94	Hille et al.	427	407.1	7/24/89

FOREIGN PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES	NO
/NN/	AL	WO92/22615	23.12.92	EP	C09D	151/08		X
	AM	0 089 497 A2	21.02.83	EP	C09D	3/72		X
	AN	WO 99/50359	07.10.99	EP	C09D	5/00		X
	AO	196 13 547	07.11.96	DE	C09D	5/46		X
/NN/	AP	42 22 194	13.01.94	DE	C09D	5/46		X

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR	English Language Abstract for WO 92/22615 provided International Publication
AS	English Language Abstract for EP 0 340 664 A1 IMPROPER CITATION
AT	English Language Abstract for WO99/50359 provided International Publication

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Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/NN/	AA	5,516,559	5/14/96	Röckrath et al.	427	407.1	2/3/93
	AB	4,046,729	9/6/77	Scriven et al.	260	29.2TN	6/2/75
	AC	5,667,847	9/16/97	Muller et al.	427	385.5	5/10/93
	AD	5,635,564	6/3/97	Wieditz et al.	525	194	6/24/94
	AE	5,726,258	2/11/97	Kranig et al.	427	386	6/23/95
	AF	5,601,878	3/10/98	Fischer et al.	526	64	7/1/96
	AG	4,130,577	12/19/78	Nagato et al.	260	453	10/25/77
	AH	4,719,132	1/12/88	Porter, Jr.	427	409	4/29/87
	AI	3,290,350	12/6/66	Hoover, et al.	260	453	12/27/62
	AJ	5,605,965	2/25/97	Reh fuss et al.	525	100	11/3/94
/NN/	AK	5,672,649	9/30/97	Brock et al.	524	507	9/4/96

FOREIGN PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
/NN/	AL	0 568 967 A2	04.05.93	EP	B05D	3/00		X
	AM	WO93/17060	02.09.93	EP	C08G	63/02	X	
	AN	WO94/10212	11.05.94	EP	C08F	8/30	X	
	AO	WO94/10213	11.05.94	EP	C08F	8/30	X	
/NN/	AP	0 594 068	15.10.93	EP	C09D	201/02	X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR	English Language Abstract for EP061495T	NOT "OTHER ART"
AS	English Language Abstract for DE19709465	IMPROPER
		CITATION
AT		NO DATE, ETC

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Examiner Initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/NN/	AA	4,895,910	1/23/90	Isozaki et al.	525	326.5	2/29/88
	AB	4,246,382	1/20/81	Honda et al.	526	79	11/6/78
	AC	5,965,213	10/12/99	Sacharski et al.	427	475	10/17/96
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FOREIGN PATENT DOCUMENTS

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/NN/	AL	WO96/12754	02.05.96	EP	C08G	63/70	X	
	AM	0 522 419 A1 ✓	30.06.92	EP	C08G	18/67		X
	AN	0 596 460 A2 ✓	03.11.93	EP	C09D	201/00		X
	AO	0 245 700 A2 ✓	29.04.87	EP	C07D	251/54	X	
/NN/	AP	0 354 261 A1 -	11.08.88	EP	C08G	18/50	X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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10/018336 PTO 30 OCT 2001

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FOREIGN PATENT DOCUMENTS

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	AM	0 522 420 A2	30.06.92	EP	C08J	3/03		X
	AN	2102170	94.05.07	CA	C09D	175/14	X	
	AO	2102169	94.05.07	CA	C09D	175/14	X	
/NN/	AP	WO94/10211	11.05.94	EP	C08F	8/30	X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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FOREIGN PATENT DOCUMENTS

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/NN/	AL	0 540 884 A1	03.10.92	EP	B05D	3/06		X
	AM	2079498	08.24.01	CA	B05D	3/06	X	
	AN	42 04 518 A1	19.08.93	DE	B05D	1/36		X
	AO	0 730 613 B1	18.11.94	EP	C08F	290/14		X
/NN/	AP	0 355 433 A2	24.07.89	EP	C08G	18/08		X

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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Serial No.: Herewith

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FOREIGN PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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/NN/	AL	36 28 124 A1	03.03.88	DE	C09D	3/727		X
	AM	0 195 931 A1	19.02.86	EP	C09D	3/80		X
	AN	44 21 823 A1	04.01.96	DE	C09D	175/04		X
	AO	0 249 201 A2	10.06.87	EP	C09D	3/58	X	
/NN/	AP	0 358 153 B1	04.09.89	EP	C09D	143/04	X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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FORM PTO-1449
(MODIFIED)US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5536

PCT/PTO 50 OCT 2001

LIST OF ART CITED BY APPLICANT
(Use sever of sheets if necessary)

In re Application of : LETTMANN

Serial No.: Herewith

Filed: October 30, 2001

U.S. PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
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FOREIGN PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/NN/	AL	0 698 773 A1	21.08.95	EP	F28D	1/03	X	
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	AN	0 101 832 A1	01.07.83	EP	C07C	125/073	X	
	AO	0 038 127 A1	24.01.81	EP	B05D	7/26	X	
/NN/	AP	32 10 051 A1	29.09.83	DE	C09D	3/72		X

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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JC13 PCT/PTO 30 OCT 2001FORM PTO-1449
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Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/NN/	AL	195 24 182 A1 .	09.01.97	DE	C08F	212/08		X
	AM	42 22 194 A1	13.01.94	DE	C09D	5/46		X
	AN	43 01 991 A1 .	28.07.98	DE	C09D	5/28		X
	AO	0 554 783 A1 .	28.01.93	EP	B01J	19/18		X
/NN/	AP	0 614 951 A2	05.03.94	EP	C09D	7/14		X

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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10/018336

FORM PTO-1449
(MODIFIED)US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5580

PCT/PTO 30 OCT 2001

LIST OF ART CITED BY APPLICANT
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In re Application of : LETTMANN

Serial No.: Herewith

Filed: October 30, 2001

U.S. PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/NN/	AL	197 09 465 A1 .	17.09.98	DE	B05D	7/26		X
	AM	38 07 571 A1 .	22.09.88	DE	C08L	83/07		X
	AN	28 48 906 A1 .	17.05.79	DE	C08F	20/18		X
	AO	197 09 476 A1 .	06.11.97	DE	F16H	7/18		X
/NN/	AP	0 276 501 A2 .	26.09.87	EP	C11D	1/42	X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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FORM PTO-1449
(MODIFIED)US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5590

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U.S. PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
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	AK						

FOREIGN PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
/NN/	AL	0 471 972 A2	11.07.91	EP	C09D	5/38	X	
	AM	WO 94/22968	13.10.94	EP	C09D	133/06		X
	AN	WO97/12945	10.04.97	EP	C09D	5/04	X	
	AO	WO82/02387	22.07.82	EP	C08F	2/02	X	
/NN/	AP	WO95/27742	19.10.95	EP	C08F	18/04	X	

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	AR	English Language Abstract for WO94/22968 provided with International Publication
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FORM PTO-1449
(MODIFIED)US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5530

10/01/2001 PCT/PTO 30 OCT 2001

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FOREIGN PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/NN/	AL	37 39 332 A1	01.06.89	DE	B05D	7/24		X
	AM	2107351	92.02.19	CA	C09D	7/14	X	
	AN	0 471 972 A2	11.07.91	EP	C09D	5/38	X	
	AO	0 158 094 A1	28.02.85	EP	A63B	69/18		X
/NN/	AP	38 32 142 c2	12.03.92	DE	C09D	133/04		X

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